

TJSO FY07-FY09 ASSESSMENT SCHEDULE

FY 2007 – Budget and Finance

Subject	Assessment Area	Assessment Category	Driver	Organization Assessing	Planned Start Date	Estimated Complete Date	Estimated On-Site Time	Last Performed
Review of Contractor's FY 2006 Actual Central Office Expense Proposal	Financial Management System Review	Surveillance	Contract	ORO FM/ Brittin	2/1/2007	4/7/2007	2 days	5/1/05
Comprehensive Financial Management System Baseline Review ¹	Financial Management System Review	Surveillance	DOE O 520.1	ORO FM/ Brittin	1/2/2007	7/31/2007	20 days	New contract award
A-123 Validation Review	Financial Management System Review	Surveillance	OMB Circular A123 ³	ORO FM/ Brittin	7/1/2007	8/31/2007	3 days	New requirement
Review of Funds Control Process at TJNAF	Financial Management System Review	Surveillance	DOE O 520.1	ORO FM/ Brittin	6/1/2007	8/30/2007	5 days	9/1/05
Allowable Cost Review for Items Charged to TJNAF Contract	Financial Audit	External	DOE O 224.2	OIG	TBD	TBD	TBD	
Financial Statement Audit ⁴	Financial Audit	External	DOE O 224.2	OIG	4/2/2007	11/8/2007	TBD	

NOTE: This schedule is considered tentative and is subject to change. Only significant assessment activities are identified. Routine walkthroughs and document reviews are not included.

W – Walkthrough; S – Surveillance; ORO – lead by Oak Ridge Operations; FM – Financial Management Group;

OIG – Office of Inspector General

TJSO FY07-FY09 ASSESSMENT SCHEDULE

FY 2008 – Budget and Finance

Subject	Assessment Area	Assessment Category	Driver	Organization Assessing	Planned Start Date	Estimated Complete Date	Estimated Days On-Site	Last Preformed
Biennial Review of Prices Charged for Materials and Services	Financial Management System Review	Surveillance	DOE O 522.1	ORO FM / Brittin	10/1/2007	12/30/2007	2	
Annual Financial Management Systems Review ²	Financial Management System Review	Surveillance	DOE O 520.1	ORO FM/ Brittin	6/1/2008	9/30/2008	5	
Review of Related Party Transactions	Financial Management System Review	Surveillance	DOE O 520.1	ORO FM/ Brittin	2/1/2008	4/30/2008	3	
A-123 Validation Review	Financial Management System Review	Surveillance	OMB Circular A123 ³	ORO FM/ Brittin	7/1/2008	8/31/2008	3	
Review of Contractor Audit Resolution and Follow-Up System	Financial Management System Review	Surveillance	DOE O 224.3	ORO FM/ Brittin	4/1/2008	6/30/2008	2	
Financial Statement Audit ⁴	Financial Audit	External	DOE O 224.2	OIG	4/2/2008	11/7/2008	TBD	

NOTE: This schedule is considered tentative and is subject to change. Only significant assessment activities are identified. Routine walkthroughs and document reviews are not included.

W – Walkthrough; S – Surveillance; ORO – lead by Oak Ridge Operations; FM – Financial Management Group;

OIG – Office of Inspector General

TJSO FY07-FY09 ASSESSMENT SCHEDULE

FY 2009 – Budget and Finance

Subject	Assessment Area	Assessment Category	Driver	Organization Assessing	Planned Start Date	Estimated Complete Date	Estimated Days On-Site	Last Performed
Annual Financial Management Systems Review ²	Financial Management System Review	Surveillance	DOE O 520.1	FM	6/1/2009	9/30/2009	5	
Review of Cost Transfers to Correct or Adjust Prior Cost Entries	Financial Management System Review	Surveillance	DOE O 520.1	ORO FM/ Brittin	2/2/2009	3/31/2009	2	
A-123 Validation Review	Financial Management System Review	Surveillance	OMB Circular A123 ³	ORO FM/ Brittin	7/1/2009	8/31/2009	3	
Review of Funds Control Process at TJNAF	Financial Management System Review	Surveillance	DOE O 520.1	ORO FM/ Brittin	5/1/2009	7/31/2009	5	
Financial Statement Audit ⁴	Financial Audit	External	DOE O 224.2	OIG	4/2/2009	11/7/2009	TBD	

NOTE: This schedule is considered tentative and is subject to change. Only significant assessment activities are identified. Routine walkthroughs and document reviews are not included.

W – Walkthrough; S – Surveillance; ORO – lead by Oak Ridge Operations; FM – Financial Management Group;

OIG – Office of Inspector General

TJSO FY07-FY09 ASSESSMENT SCHEDULE

Budget and Finance Notes

Note 1:

The baseline review will be conducted is a series of approximately four visits, covering the cash, letter of credit, receivables, capital assets and inventories, payables and other liabilities, revenues, payroll, procurement, travel, cost distribution and allocation, and contract management. Because of the participation of Planning and Budget Division personnel in the review of the budget event cycles, funds control reviews are listed separately.

Note 2:

The scope of annual reviews of existing financial systems will be determined based on the impacts of system, personnel and process changes, and other known issues and concerns affecting the financial system. The scope of the annual reviews will include on a cyclical basis all major financial event cycles noted above.

Note 3:

The driver for A-123 Validation reviews is, “Interim Guidance for Office of Management and Budget Circular A-123, *Management’s Responsibility for Internal Control*,” which was promulgated by the DOE CFO via memo dated October 24, 2005.

Note 4:

All M&O contractors are subject to being selected for review as part of the annual financial statement audit; however, the accounts maintained by the contractor for TJNAF are unlikely to be selected because of the small balances compared to those for other facilities. It is more likely that TJNAF will be selected for the ADP security review. It will not be known until the start of the audit whether any TJNAF activities have been selected for review.

NOTE: This schedule is considered tentative and is subject to change. Only significant assessment activities are identified. Routine walkthroughs and document reviews are not included.

W – Walkthrough; S – Surveillance; ORO – lead by Oak Ridge Operations; FM – Financial Management Group;

OIG – Office of Inspector General

TJSO FY07-FY09 ASSESSMENT SCHEDULE

FY 2007 – Contract Management

Subject	Assessment Area	Assessment Category	Driver	Organization Assessing	Planned Start Date	Estimated Complete Date	Estimated Days On-Site	Last Performed

FY 2008 – Contract Management

Subject	Assessment Area	Assessment Category	Driver	Organization Assessing	Planned Start Date	Estimated Complete Date	Estimated Days On-Site	Last Performed

FY 2009 – Contract Management

Subject	Assessment Area	Assessment Category	Driver	Organization Assessing	Planned Start Date	Estimated Complete Date	Estimated Days On-Site	Last Performed

NOTE: This schedule is considered tentative and is subject to change. Only significant assessment activities are identified. Routine walkthroughs and document reviews are not included.

W – Walkthrough; S – Surveillance; ORO – lead by Oak Ridge Operations; FM – Financial Management Group;

OIG – Office of Inspector General

TJSO FY07-FY09 ASSESSMENT SCHEDULE

FY 2007 – Cyber Security

Subject	Assessment Area	Assessment Category	Driver	Organization Assessing	Planned Start Date	Estimated Complete Date	Estimated Days On-Site	Last Performed
Mgt-Operational Technical Visit	Information Technology (IT)	External	DOE O226.1	HQ/OA	March 07	Mar 07	3	9/06
Vulnerability Scanning Management	IT	Walkthrough	DOE O226.1	TJSO	Jan 08	Jan 08		
Business Administration Enclave	IT	Walkthrough	DOE O226.1	TJSO	Q3	Q3		
IT Benchmark Review	IT	External	DOE O226.1		Q4	Q4		

FY 2008 – Cyber Security

Subject	Assessment Area	Assessment Category	Driver	Organization Assessing	Planned Start Date	Estimated Complete Date	Estimated Days On-Site	Last Performed
Mgt-Operational Technical Visit	Information Technology (IT)	External	DOE O226.1	HQ/OA	Sep 08	Sep 08	3	3/07
Vulnerability Scanning Management	IT	Walkthrough	DOE O226.1	TJSO	Jan 09	Jan 09		
Accelerator Controls Enclave	IT	Walkthrough	DOE O226.1	TJSO	Mar 09	Mar 09		
IT Benchmark Review	IT	External	DOE O226.1		Q4	Q4		

NOTE: This schedule is considered tentative and is subject to change. Only significant assessment activities are identified. Routine walkthroughs and document reviews are not included.

W – Walkthrough; S – Surveillance; ORO – lead by Oak Ridge Operations; FM – Financial Management Group;

OIG – Office of Inspector General

TJSO FY07-FY09 ASSESSMENT SCHEDULE

FY 2009 – Cyber Security

Subject	Assessment Area	Assessment Category	Driver	Organization Assessing	Planned Start Date	Estimated Complete Date	Estimated Days On-Site	Last Performed
Mgt-Operational Technical Visit	Information Technology (IT)	External	DOE O226.1	HQ/OA	Q3	Q3	5	9/08
Vulnerability Scanning Management	IT	Walkthrough	DOE O226.1	TJSO	Jan 2010	Jan 2010		

NOTE: This schedule is considered tentative and is subject to change. Only significant assessment activities are identified. Routine walkthroughs and document reviews are not included.

W – Walkthrough; S – Surveillance; ORO – lead by Oak Ridge Operations; FM – Financial Management Group;

OIG – Office of Inspector General

TJSO FY07-FY09 ASSESSMENT SCHEDULE

FY 2007 – ES&H

Subject	Assessment Area	Assessment Category	Driver	Organization Assessing	Planned Start Date	Estimated Complete Date	Estimated Days On-Site	Last Performed
Personal Protective Equipment/ Chemical Hygiene	Surveillance	ES&H	DOE O226.1	ORO / TJSO	10/30/06	11/3/06	3	New
ISMS Self Assessment (Lab and Site Office)	External	ES&H	DOE O226.1	ORO	2/5/07	2/9/06	3	New
Ergonomics Program	Surveillance	ES&H	DOE O226.1	ORO/TJSO	2/26/07	3/2/07	3	New
ODH / Confined Space	Surveillance	ES&H	DOE O226.1	ORO/TJSO	3/19/07	3/23/07	3	New
Radiological Laboratory Proficiency	Surveillance	ES&H	DOE O226.1	ORO/TJSO	5/14/07	5/18/07	3	New
NFPA 70E Compliance	Surveillance	ES&H	DOE O226.1	ORO/TJSO	6/11/07	6/15/07	3	2/05
ISMS Verification Audit (Lab and Site Office)	External	ES&H	DOE O226.1	TBD	7/16/07	8/22/07	4	New
Quality Assurance Program (Lab and Site Office)	External	ES&H	DOE O414.1C	ORO	9/17/07	9/21/07	3	New
Radiological Program Peer Review	External	ES&H	DOE O226.1	Lab Peers	TBD	TBD	3	9/1/04

NOTE: This schedule is considered tentative and is subject to change. Only significant assessment activities are identified. Routine walkthroughs and document reviews are not included.

W – Walkthrough; S – Surveillance; ORO – lead by Oak Ridge Operations; FM – Financial Management Group;

OIG – Office of Inspector General

TJSO FY07-FY09 ASSESSMENT SCHEDULE

FY 2008 – ES&H

Subject	Assessment Area	Assessment Category	Driver	Organization Assessing	Planned Start Date	Estimated Complete Date	Estimated Days On-Site	Last Performed
Laser Safety Program	Surveillance	ES&H	DOE O226.1	ORO/TJSO	TBD	TBD	2	9/05
Material Handling & Rigging	Surveillance	ES&H	DOE O226.1	ORO/TJSO	TBD	TBD	3	8/05
Fire Protection & Life Safety	Surveillance	ES&H	DOE O226.1	ORO/TJSO	TBD	TBD	3	New
Hazardous Waste Management	Surveillance	ES&H	DOE O226.1	ORO/TJSO	TBD	TBD	2	New
Accelerator Safety	Surveillance	ES&H	DOE O420.2B	TBD	TBD	TBD	TBD	
Environmental Permits	Surveillance	ES&H	DOE O226.1	ORO/TJSO	TBD	TBD	2	New
Emergency Management Peer Review	External	ES&H	DOE O226.1	Lab Peers	TBD	TBD	3	11/05
Integrated Safety Management (ISMS)	Surveillance	ES&H	DOE O226.1	TBD	TBD	TBD	2	8/06

NOTE: This schedule is considered tentative and is subject to change. Only significant assessment activities are identified. Routine walkthroughs and document reviews are not included.

W – Walkthrough; S – Surveillance; ORO – lead by Oak Ridge Operations; FM – Financial Management Group;

OIG – Office of Inspector General

TJSO FY07-FY09 ASSESSMENT SCHEDULE

FY 2009 – ES&H

Subject	Assessment Area	Assessment Category	Driver	Organization Assessing	Planned Start Date	Estimated Complete Date	Estimated Days On-Site	Last Performed
Machine Guarding	Surveillance	ES&H	DOE O226.1	ORO/TJSO	TBD	TBD	2	New
Compressed Gas Safety	Surveillance	ES&H	DOE O226.1	ORO/TJSO	TBD	TBD	2	New
Chemical Hygiene / PPE	Surveillance	ES&H	DOE O226.1	ORO/TJSO	TBD	TBD	2	10/06
Electrical Safety Program	Surveillance	ES&H	DOE O226.1	ORO/TJSO	TBD	TBD	3	6/07
Medical Surveillance Program/Blood Borne Pathogens	Surveillance	ES&H	DOE O226.1	TJSO	TBD	TBD	2	New
Traffic Safety	Surveillance	ES&H	DOE O226.1	TBD	TBD	TBD	2	New
Fall Protection Program	Surveillance	ES&H	DOE O226.1	ORO/TJSO	TBD	TBD	2	New
Integrated Safety Management (ISMS)	Surveillance	ES&H	DOE O226.1	TBD	TBD	TBD	3	9/06

NOTE: This schedule is considered tentative and is subject to change. Only significant assessment activities are identified. Routine walkthroughs and document reviews are not included.

W – Walkthrough; S – Surveillance; ORO – lead by Oak Ridge Operations; FM – Financial Management Group;

OIG – Office of Inspector General

TJSO FY07-FY09 ASSESSMENT SCHEDULE

FY 2007 – Facilities and Projects

Subject	Assessment Area	Assessment Category	Driver	Organization Assessing	Planned Start Date	Estimated Complete Date	Estimated Days On-Site	Last Performed
Energy Mgt Performance	External	Facilities Mgt	DOE O 430.2A	SC, EE, Korynta	11/06	11/06	TBD	11/05
12GeV mini project review	Surveillance	Project Mgt	DOE 413.3A	TJSO (May)	Dec 06	Dec 06	2	New
12 GeV Pre-CD 2 SC Project Review	Surveillance	Project Mgt	DOE 413.3A	TJSO (May)	TBD	TBD	TBD	New
Facilities Management Maintenance	External	Facilities Mgt	DOE 430.1B	SC, Korynta	1/07	1/07	TBD	1/06
Facilities Information Management System (FIMS) Validation	External	Facilities Mgt	DOE O 430.1B	SC, OECM, Korynta	6/07	6/07	TBD	New
12 GeV OECM Pre-CD 2 Project Review	Surveillance	Project Mgt	DOE 413.3A	TJSO (May)	TBD	TBD	TBD	New
12GeV Earned Value Management	Surveillance	Project Mgt	DOE 413.3A	TJSO (May)	TBD	TBD	TBD	New

NOTE: This schedule is considered tentative and is subject to change. Only significant assessment activities are identified. Routine walkthroughs and document reviews are not included.

W – Walkthrough; S – Surveillance; ORO – lead by Oak Ridge Operations; FM – Financial Management Group;

OIG – Office of Inspector General

TJSO FY07-FY09 ASSESSMENT SCHEDULE

FY 2008 – Facilities and Projects

Subject	Assessment Area	Assessment Category	Driver	Organization Assessing	Planned Start Date	Estimated Complete Date	Estimated Days On-Site	Last Performed
Energy Mgt Performance	External	Facilities Mgt	430.2A	SC, EE, Korynta	Q1	Q1	TBD	
Facilities Management Maintenance	External	Facilities Mgt	DOE 430.1B	SC, Korynta	Q2	Q2	TBD	
Facilities Information Management System (FIMS) Validation	External	Facilities Mgt	DOE O 430.1B	SC, OECM, Korynta	Q3	Q3	TBD	

FY 2009 – Facilities and Projects

Subject	Assessment Area	Assessment Category	Driver	Organization Assessing	Planned Start Date	Estimated Complete Date	Estimated On-Site Time	Last Performed
Energy Mgt Performance	External	Facilities Mgt	DOE 430.2A	SC, EE, Korynta	Q1	Q1	TBD	
Facilities Management Maintenance	External	Facilities Mgt	DOE 430.1B	SC, Korynta	Q2	Q2	TBD	
FIMS Validation	External	Facilities Mgt	DOE O 430.1B	SC, OECM, Korynta	Q3	Q3	TBD	

NOTE: This schedule is considered tentative and is subject to change. Only significant assessment activities are identified. Routine walkthroughs and document reviews are not included.

W – Walkthrough; S – Surveillance; ORO – lead by Oak Ridge Operations; FM – Financial Management Group;

OIG – Office of Inspector General

TJSO FY07-FY09 ASSESSMENT SCHEDULE

FY 2007 – Operations

Subject	Assessment Area	Assessment Category	Driver	Organization Assessing	Planned Start Date	Estimated Complete Date	Estimated Days On-Site	Last Performed
Accelerator Operations	Surveillance	OP's	DOE O226.1	TJSO	Q1	Q1	2	3/06
Hall A Operations	Surveillance	OP's	DOE O226.1	TJSO	Q2	Q2	2	
Hall B Operations	Surveillance	OP's	DOE O226.1	TJSO	Q3	Q3	2	
Hall C Operations	Surveillance	OP's	DOE O226.1	TJSO	Q4	Q4	2	
Security Program	Surveillance	OP's	DOE O226.1	TJSO (Korynta)	TBD	TBD	TBD	

FY 2008 – Operations

Subject	Assessment Area	Assessment Category	Driver	Organization Assessing	Planned Start Date	Estimated Complete Date	Estimated Days On-Site	Last Performed
Accelerator Operations	Surveillance	OP's	DOE O226.1	TJSO	Q1	Q1	2	
Hall A Operations	Surveillance	OP's	DOE O226.1	TJSO	Q2	Q2	2	
Hall B Operations	Surveillance	OP's	DOE O226.1	TJSO	Q3	Q3	2	
Hall C Operations	Surveillance	OP's	DOE O226.1	TJSO	Q4	Q4	2	
Security Program	Surveillance	OP's	DOE O226.1		TBD	TBD	2	

NOTE: This schedule is considered tentative and is subject to change. Only significant assessment activities are identified. Routine walkthroughs and document reviews are not included.

W – Walkthrough; S – Surveillance; ORO – lead by Oak Ridge Operations; FM – Financial Management Group;

OIG – Office of Inspector General

TJSO FY07-FY09 ASSESSMENT SCHEDULE

FY 2009 – Operations

Subject	Assessment Area	Assessment Category	Driver	Organization Assessing	Planned Start Date	Estimated Complete Date	Estimated Days On-Site	Last Performed
Accelerator Operations	Surveillance	OP's	DOE O226.1	TJSO	Q1	Q1	2	
Hall A Operations	Surveillance	OP's	DOE O226.1	TJSO	Q2	Q2	2	
Hall B Operations	Surveillance	OP's	DOE O226.1	TJSO	Q3	Q3	2	
Hall C Operations	Surveillance	OP's	DOE O226.1	TJSO	Q4	Q4	2	
Security Program	Surveillance	OP's	DOE O226.1		TBD	TBD	2	

NOTE: This schedule is considered tentative and is subject to change. Only significant assessment activities are identified. Routine walkthroughs and document reviews are not included.

W – Walkthrough; S – Surveillance; ORO – lead by Oak Ridge Operations; FM – Financial Management Group;

OIG – Office of Inspector General

TJSO FY07-FY09 ASSESSMENT SCHEDULE

FY 2007 – Property Management

Subject	Assessment Area	Assessment Category	Driver	Organization Assessing	Planned Start Date	Estimated Complete Date	Estimated Days On-Site	Last Performed
Property Management Program	Property Mgt	External		JLab Internal Assessment	TBD	TBD	TBD	
Property Management Annual Walkthrough	Property Mgt	Walkthrough	DOE O226.1	TJSO	Q4	Q4	5	

FY 2008 – Property Management

Subject	Assessment Area	Assessment Category	Driver	Organization Assessing	Planned Start Date	Estimated Complete Date	Estimated Days On-Site	Last Performed
Property Management Annual Walkthrough	Property Mgt	Walkthrough	DOE O226.1	TJSO	Q4	Q4	5	

FY 2009 – Property Management

Subject	Assessment Area	Assessment Category	Driver	Organization Assessing	Planned Start Date	Estimated Complete Date	Estimated Days On-Site	Last Performed
Property Management Annual Walkthrough	Property Mgt	Walkthrough	DOE O226.1	TJSO	Q4	Q4	5	

NOTE: This schedule is considered tentative and is subject to change. Only significant assessment activities are identified. Routine walkthroughs and document reviews are not included.

W – Walkthrough; S – Surveillance; ORO – lead by Oak Ridge Operations; FM – Financial Management Group;

OIG – Office of Inspector General